BEFORE THE DIVISION OF MEDICAL QUALITY MEDICAL BOARD OF CALIFORNIA DEPARTMENT OF CONSUMER AFFAIRS STATE OF CALIFORNIA

In the Matter of the Accusation Against:))	
DALE ROBERT MONGRAIN, M.D. Certificate No. G-29446)))	No: 10-1997-80340
Responden)) <u>t_</u>)	

DECISION

The attached Stipulation in Settlement and Order is hereby adopted by the Division of Medical Quality as its Decision in the above-entitled matter.

This Decision shall become effective at 5:00 p.m. on February 14, 2000.

IT IS SO ORDERED January 14, 2000.

By:

IRA LUBELL, M.D.

President

Division of Medical Quality

BILL LOCKYER, Attorney General 1 of the State of California SANFORD FELDMAN, Deputy Attorney General 3 State Bar No. 47775 Department of Justice 110 West A Street, Suite 1100 Post Office Box 85266 San Diego, CA 92186-5266 Telephone: (619) 645-2079 6 Attorneys for Complainant 7 8 **BEFORE THE** DIVISION OF MEDICAL QUALITY 9 MEDICAL BOARD OF CALIFORNIA DEPARTMENT OF CONSUMER AFFAIRS 10 STATE OF CALIFORNIA 11 In the Matter of the Accusation Case No. 10-97-80340 Against: 12 DALE ROBERT MONGRAIN, M.D. **STIPULATION** 13 135 Main Street IN SETTLEMENT P.O. Box 159 AND ORDER 14 Brawley, CA 92227 15 Physician's and Surgeon's Certificate No. G 29446 16 Respondent. 17 18 19 Complainant, Ron Joseph, Executive Director of the Medical Board of California ("Board"), by and through his 20 21 attorney, Bill Lockyer, Attorney General of the State of California, by Sanford Feldman, Deputy Attorney General, and Dale 22 23 Robert Mongrain, M.D. ("respondent"), by and through his attorney 24 William R. Winship, Esq., hereby stipulate as follows: 25 The Division of Medical Quality of the Board 26 ("Division") acquired jurisdiction over respondent by reason of

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the following:

- B. Respondent has received and read the Accusation which is presently on file as Case No. 10-97-80340 before the Division. Respondent understands the nature of the charges alleged in the Accusation and that the charges and allegations constitute cause for imposing discipline upon respondent's license to practice medicine which was issued by the Board.
- 2. Respondent and his counsel are aware of each of respondent's rights, including the right to a hearing on the charges and allegations, the right to confront and cross-examine witnesses who would testify against respondent, the right to present evidence in his favor and call witnesses on his behalf, or to testify, his right to contest the charges and allegations, and other rights which are accorded to respondent pursuant to the California Administrative Procedure Act (Gov. Code, § 11500 et seq.), including the right to seek reconsideration, review by the superior court, and appellate review.
- 3. Respondent freely and voluntarily waives each and every one of the rights set forth in paragraph 2.

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4. Respondent understands that in signing this stipulation rather than contesting the Accusation, he is enabling the Division to issue the following order without further process.

- 5. For the purpose of resolving Accusation
 No. 10-97-80340, respondent admits that he failed to maintain adequate and accurate medical records, in violation of Business and Professions Code section 2266, as alleged in the Accusation. Respondent hereby gives up his right to contest the charges and allegations in the Accusation and agrees to be bound by the Division's Disciplinary Order as set forth below.
- 6. It is understood by respondent that, in deciding whether to adopt this stipulation, the Division may receive oral and written communications from its staff and the Attorney General's office. Communications pursuant to this paragraph shall not disqualify the Division or other persons from future participation in this or any other matter affecting respondent. In the event this settlement is not adopted by the Division, the stipulation will not become effective and may not be used for any purpose, except for this paragraph, which shall remain in effect.
- 7. This Stipulation in Settlement and Decision is intended by the parties herein to be an integrated writing representing the complete, final and exclusive embodiment of the agreements of the parties.
- 8. The parties agree that facsimile copies of this Stipulation, including facsimile signatures of the parties, may be used in lieu of original documents and signatures. The

facsimile copies will have the same force and effect as originals.

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9. Based upon the foregoing, it is stipulated and agreed that the Division may issue the following as its decision in this case.

ORDER

Physician's and Surgeon's Certificate No. G 29446 issued to Dale Robert Mongrain, M.D., is revoked. However, revocation of said certificate is stayed and respondent is placed on probation for five (5) years on the terms and conditions set forth below. Within 15 days after the effective date of this decision, respondent shall provide the Division, or its designee, proof of service that respondent has served a true copy of this decision on the Chief of Staff or the Chief Executive Officer at every hospital where privileges or membership are extended to respondent or where respondent is employed to practice medicine and on the Chief Executive Officer at every insurance carrier where malpractice insurance coverage is extended to respondent.

1. EDUCATION COURSE

Within 90 days from the effective date of this decision, and on an annual basis thereafter, respondent shall submit to the Division or its designee for its prior approval an educational program or course to be designated by the Division, which shall not be less than 25 hours per year for each year of probation. This program shall be in addition to the Continuing Medical Education requirements for re-licensure. Following the

completion of each course, the Division or its designee may administer an examination to test respondent's knowledge of the course. Respondent shall provide proof of attendance for 45 hours of continuing medical education of which 25 hours were in satisfaction of this condition and were approved in advance by the Division or its designee.

2. ETHICS COURSE

Within sixty (60) days of the effective date of this decision, respondent shall enroll in a course in Ethics approved in advance by the Division or its designee, and shall successfully complete the course during the first year of probation.

3. CLINICAL TRAINING PROGRAM

Within 90 days from the effective date of this decision, respondent, at his expense, shall enroll in The Physician Assessment and Clinical Education Program at the University of California, San Diego School of Medicine (hereinafter, the "PACE Program") and shall undergo assessment, clinical training and examination. First, respondent shall undergo the comprehensive assessment program including the measurement of medical skills and knowledge and the appraisal of physical health and psychological testing. After assessment, the PACE Evaluation Committee will review all results and make a recommendation to the Division or its designee and the respondent and other authorized personnel regarding clinical training (including scope and length), treatment of any medical and/or psychological condition and any other matters affecting

respondent's practice of medicine. Upon approval of the recommendation by the Division or its designee, respondent shall undertake and complete the recommended and approved PACE Program. At the completion of the PACE Program, respondent shall submit to examination on its contents and substance. The examination shall be designed and administered by the PACE Program faculty. Respondent shall not be deemed to have successfully completed the program unless he passes the examination. Respondent agrees that the determination of the PACE Program faculty as to whether or not he passed the examination and/or successfully completed the PACE Program shall be binding.

Respondent shall complete the PACE Program no later than six months after his initial enrollment unless the Division or its designee agrees in writing to a later time for completion.

If respondent successfully completes the PACE Program, including the examination referenced above, he agrees to cause the PACE Program representative to forward a Certification of Successful Completion of the program to the Division or its designee. If respondent fails to successfully complete the PACE Program within the time limits outlined above, he shall be suspended from the practice of medicine.

Failure to participate in, and successfully complete all phases of the PACE Program, as outlined above, shall constitute a violation of probation.

4. MONITORING

Within 30 days of the effective date of this decision, respondent shall submit to the Division or its designee for its

prior approval a plan of practice by which respondent's determinations of appropriate laboratory testing and his billing for such testing shall be monitored for the first two years of probation by another physician in respondent's field of practice, who shall provide periodic reports to the Division or its designee.

If the monitor resigns or is no longer available, respondent shall, within 15 days, move to have a new monitor appointed, through nomination by respondent and approval by the Division or its designee.

5. OBEY ALL LAWS

Respondent shall obey all federal, state and local laws, all rules governing the practice of medicine in California, and remain in full compliance with any court ordered criminal probation, payments and other orders.

6. QUARTERLY REPORTS

Respondent shall submit quarterly declarations under penalty of perjury on forms provided by the Division, stating whether there has been compliance with all the conditions of probation.

7. PROBATION SURVEILLANCE PROGRAM COMPLIANCE

Respondent shall comply with the Division's probation surveillance program. Respondent shall, at all times, keep the Division informed of his or her addresses of business and residence which shall both serve as addresses of record. Changes of such addresses shall be immediately communicated in writing to ///

the Division. Under no circumstances shall a post office box serve as an address of record.

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Respondent shall also immediately inform the Division, in writing, of any travel to any areas outside the jurisdiction of California which lasts, or is contemplated to last, more than 30 days.

8. INTERVIEW WITH THE DIVISION, ITS DESIGNEE OR ITS DESIGNATED PHYSICIAN(S)

Respondent shall appear in person for interviews with the Division, its designee or its designated physician(s) upon request at various intervals and with reasonable notice.

9. TOLLING FOR OUT-OF-STATE PRACTICE, RESIDENCE OR IN-STATE NON-PRACTICE

In the event respondent should leave California to reside or to practice outside the State or for any reason should respondent stop practicing medicine in California, respondent shall notify the Division or its designee in writing within tendays of the dates of departure and return or the dates of non-practice within California. Non-practice is defined as any period of time exceeding 30 days in which respondent is not engaging in any activities defined in Sections 2051 and 2052 of the Business and Professions Code. All time spent in an intensive training program approved by the Division or its designee shall be considered as time spent in the practice of medicine. Periods of temporary or permanent residence or practice outside California or of non-practice within California, as defined in this condition, will not apply to the reduction of

the probationary period. During periods of temporary or permanent residence or practice outside California or of non-practice within California; as defined in this condition, respondent is not required to comply with any terms and conditions of probation other than the requirement for the payment of cost recovery, as set in paragraph 13 below.

10. COMPLETION OF PROBATION

Upon successful completion of probation, respondent's certificate shall be fully restored.

11. VIOLATION OF PROBATION

If respondent violates probation in any respect, the Division, after giving respondent notice and the opportunity to be heard, may revoke probation and carry out the disciplinary order that was stayed. If an accusation or petition to revoke probation is filed against respondent during probation, the Division shall have continuing jurisdiction until the matter is final, and the period of probation shall be extended until the matter is final.

12. COST RECOVERY

Within 90 days of the effective date of this order, respondent shall pay the Division the amount of \$2,850.50 for its investigation and prosecution costs. Failure to reimburse the Division's cost of its investigation and prosecution as set forth herein shall constitute a violation of the probation order, unless the Division agrees in writing to payment by an installment plan because of financial hardship. The filing of bankruptcy by the respondent shall not relieve the respondent of

his/her responsibility to reimburse the Division for its investigative and prosecution costs.

13. PROBATION MONITORING COSTS

Respondent shall pay the costs associated with probation monitoring each and every year of probation. Such costs, which are currently set at \$2,304 per year and may vary from year to year, shall be payable to the Division at the beginning of each calendar year. Failure to pay such costs shall constitute a violation of probation.

14. LICENSE SURRENDER

Following the effective date of this decision, if respondent ceases practicing due to retirement, health reasons or is otherwise unable to satisfy the terms and conditions of probation, respondent may voluntarily tender his/her certificate to the Division. The Division reserves the right to evaluate the respondent's request and to exercise its discretion whether to grant the request, or to take any other action deemed appropriate and reasonable under the circumstances. Upon formal acceptance of the tendered license, respondent will no longer be subject to terms and conditions of probation.

ACCEPTANCE

I have carefully read and fully understand the stipulation and order set forth above. I have discussed the terms and conditions set forth in the stipulation and order with my attorney, William R. Winship, Esq. I understand that in signing this stipulation I am waiving my right to a hearing on the charges set forth in the Accusation on file in this matter.

1	I further understand that in signing this stipulation the
2	Division may enter the foregoing order placing certain
3	requirements, restrictions and limitations on my right to
4	practice medicine in the State of California.
5	DATED: 12/21/99
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8	Oal R. Mmaan M.S
9	Dale Robert Mongrain, M.D. Respondent
10	I concur in the Stipulation.
11	DATED: 12/21/99
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14	mynding
15 16	WILLIAM R. WINSHIP Attorney for Respondent
17	I concur in the Stipulation.
18	DATED: 12/21/88
19	BILL LOCKYER, Attorney General of the State of California
20	of the State of California
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22	Saloral Julal
23	SANFORD FELDMAN Deputy Attorney General
24	Attorneys for Complainant
25 26	sf\c:\dat\stipulations\ mbc\mongrain\mbc.12/21/99

FILED DANIEL E. LUNGREN, Attorney General STATE OF CALIFORNIA of the State of California MEDICAL BOARD OF CALIFORNIA SANFORD FELDMAN, SACRAMENTO Secondo Deputy Attorney General 3 State Bar No. 47775 Department of Justice 4 110 West A Street, Suite 1100 Post Office Box 85266 San Diego, CA 92186-5266 Telephone: (619) 645-2079 6 Attorneys for Complainant 7 BEFORE THE 8 **DIVISION OF MEDICAL QUALITY** MEDICAL BOARD OF CALIFORNIA 9 DEPARTMENT OF CONSUMER AFFAIRS 10 STATE OF CALIFORNIA 11 In the Matter of the Accusation Against: Case No. 10-97-80340 12 DALE ROBERT MONGRAIN, M.D. 13 135 Main Street ACCUSATION P.O. Box 159 14 Brawley, CA 92227 15 Physician's and Surgeon's Certificate No. G 29446 16 Respondent. 17 18 19 Complainant, Ron Joseph, as causes for disciplinary action, hereby alleges: 20 21 **PARTIES** 22 1. Complainant, Ron Joseph, is the Executive Director of the Medical Board of California (hereinafter the "Board") and 23 24 brings this Accusation solely in his official capacity. 25 On or about June 16, 1975, Physician's and

to Dale Robert Mongrain, M.D. ("respondent"), and at all relevant

Surgeon's Certificate No. G 29446 was issued by the Board

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times herein, said Physician's and Surgeon's Certificate
was in full force and effect, except as noted below. Unless
renewed, it will expire on December 31, 1999.

3. On August 5, 1987, an Accusation was filed by the Division against respondent. On February 29, 1988, a Decision of the Division became effective. That Decision revoked respondent's license, stayed revocation and placed him on three years probation with various terms and conditions. On February 28, 1991, respondent's probation was completed.

JURISDICTION

- 4. This Accusation is brought before the Division of Medical Quality of the Board (hereinafter the "Division"), under the authority of the following sections of the California Business and Professions Code (hereinafter "Code"):
 - A. Code section 2227 provides, in pertinent part, that the Division may revoke, suspend for a period not to exceed one year, or place on probation and order the payment of probation monitoring cost, the license of any licensee who has been found guilty under the Medical Practice Act.
 - B. Code section 2234 provides, in pertinent part, that the Division shall take action against any licensee who is charged with unprofessional conduct. Unprofessional conduct includes, but is not limited to, the following:
 - "(a) . . .
 - "(b) Gross negligence.

- "(c) Repeated negligent acts.
- "(d) Incompetence.
- "(e) The commission of any act involving dishonesty or corruption which is substantially related to the qualifications, functions or duties of a physician and surgeon.

- C. Code section 725 provides that repeated acts of clearly excessive prescribing or administering of drugs or treatment, repeated acts of clearly excessive use of diagnostic or treatment facilities as determined by the standard of the community of licensees is unprofessional conduct.
- D. Code section 810 provides, in pertinent part, that It shall constitute unprofessional conduct and grounds for disciplinary action, including suspension or revocation of a license or certificate, for a health care professional to do any of the following in connection with his professional activities: (1) knowingly present or cause to be presented any false or fraudulent claim for the payment of a loss under a contract of insurance; (2) knowingly prepare, make, or subscribe any writing, with intent to present or use the same, or to allow it to be presented or used in support of any such claim.
- E. Code section 2261 provides, in pertinent part, that knowingly making or signing any certificate or other document directly or indirectly related to the

practice of medicine which falsely represents the existence or nonexistance of a state of facts, constitutes unprofessional conduct.

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- F. Code section 2266 provides, in pertinent part, that the failure of a physician and surgeon to maintain adequate and accurate records relating to the provision of services to their patients constitutes
- G. Code section 125.3 provides, in part, that the Board may request the administrative law judge to direct any licentiate found to have committed a violation or violations of the licensing act, to pay the Board a sum not to exceed the reasonable costs of the investigation and enforcement of the case.
- 5. Section 16.01 of the Budget Act of the State of California provides, in pertinent part, that: (a) no funds appropriated by this act may be expended to pay any Medi-Cal claim for any service performed by a physician while that physician's license is under suspension or revocation due to a disciplinary action of the Medical Board of California; and, (b) no funds appropriated by this act may be expended to pay any Medi-Cal claim for any surgical service or other invasive procedure performed on any Medi-Cal beneficiary by a physician if that physician has been placed on probation due to a disciplinary action of the Medical Board of California related to the performance of that specific service or procedure on any patient, except in any case where the board makes a determination during its disciplinary process that there exist compelling

circumstances that warrant continued Medi-Cal reimbursement during the probationary period.

FIRST CAUSE FOR DISCIPLINE

(Gross Negligence, Repeated Negligent Acts and Incompetence)

6. Respondent Dale Robert Mongrain, M.D., is subject to disciplinary action on account of the following:

Patient JoEllen J.

- A. On October 7, 1996, 38 year old female patient JoEllen J. (hereinafter "JoEllen") presented to respondent. After examination, respondent's impressions were that JoEllen had: pre-menopausal syndrome with mood swings and menometrorrhagis; possible rheumatoid arthritis or an autoimmune disorder; possible thyroid condition; possible endocrinologic condition; possible cholesterol elevations and possible blood dyscrasia.
- B. On this first visit, respondent, without charted medical indication for it, ordered a battery of lab tests including mono, AST, streptozyme, IGE, cortisol, aldosterone and bleeding time. Respondent also ordered pulmonary function studies because he gave JoEllen Phen-Fen.
- C. On October 14, 1996, JoEllen again presented to respondent. During that visit, respondent diagnosed bradycardia and congestive heart failure even though his records do not report a lung or heart examination or other examination sufficient to justify this diagnosis. In fact,

even though respondent performed an EKG and reported that it revealed bradycardia, it did not.

D. Respondent's chart for JoEllen falsely reported that lab work was done on November 7, 1996.

- E. On November 27, 1996, JoEllen returned for a third and final visit. Respondent continued to diagnosis pre-menstrual syndrome, congestive heart failure and autoimmune disease. Respondent's chart for JoEllen falsely reported that lab work was done on November 27, 1996.
- F. Respondent's chart for JoEllen falsely reported that lab work was done on December 6, 1996.
- G. Respondent billed JoEllen's insurer for the falsely reported lab work and for lab work for which there was no medical indication.
- H. Respondent's chart for JoEllen's lab work failed to note the name or initials of the technologist who drew the specimens.

Patient Carl G.

- I. On October 17, 1996, patient Carl G.

 (hereinafter "Carl") first presented to respondent. From
 that date up to and including November 10, 1997, respondent
 reported approximately 50 outpatient visits for Carl.
- J. During the initial evaluation of October 17, 1996, respondent, without charted medical indication for it, ordered a battery of laboratory studies that included thyroid studies, chemistry panel, iron level, CBC and platelet count, ASO, CRP, FP, RPR, mono, ivy bleeding time,

reticulocyte count, magnesium level, urine osmolality, cortisol, PT and PTT, amylase and more. Respondent's diagnosis included: COPD, allergies, questionable history of no sexual problems, hypertension, stress, prior bleeding problem and dehydration.

- K. When Carl presented on November 1, 1996, respondent, without charted medical indication for it, ordered LH, FSH, prolactin, testosterone and PSA testing.
- L. When Carl presented on November 20, 1996, respondent, without charted medical indication for it, ordered cortisol and aldosterone level, coagulations studies and numerous thyroid tests. Respondent also ordered a repeat urine osmolality.
- M. When Carl presented on March 17, 1997, respondent, without charted medical indication for it, ordered a repeat LH, FSH and prolactin level even though prior lab results for these tests were normal. In addition, without charted medical indication for it, ordered an H-pylori test, another urine osmolality test.
 - N. Repeatedly, respondent's chart for Carl fails to document when blood was drawn, when the lab test were run and which technologist did the study. In addition, the dates of lab work are incorrectly reported as of the date the patient was billed rather than the date the sample was drawn.

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 - Respondent billed Carl's insurer for falsely Ο. reported lab work and for lab work for which there was no medical indication.

. . .

- Respondent Dale Robert Mongrain, M.D., is subject 7. to disciplinary action in that he committed acts of gross negligence, repeated negligent acts and incompetence, in violation of Code sections 2234(b), 2234(c) and 2234(d), in that:
 - Complainant realleges paragraph 6 above as if fully set forth at this point.
 - Respondent incorrectly diagnosed JoEllen as в. having bradycardia and congestive heart failure.
 - Respondent diagnosed JoEllen as having C. bradycardia and congestive heart failure without first performing a cardiac or pulmonary examination.
 - Respondent failed to document medical indication for ordered lab work.
 - Respondent ordered lab work that was not Ε. medical indication.
 - Respondent falsely represented the date F. specimens were taken.
 - Respondent failed to note the date on which G. lab specimens were taken.
 - Respondent failed to note the technologist Η. who drew the specimens.
 - Respondent failed to note the date on which I. lab test were run.

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J. Respondent billed insurers for lab work that was not medically indicated.

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- K. Respondent billed insurers for lab work that was not done on that date billed.
- L. Respondent failed to maintain adequate and accurate medical records.

SECOND CAUSE FOR DISCIPLINE

(Dishonesty or Corruption, False Medical Records and Insurance Fraud)

8. Respondent Dale Robert Mongrain, M.D., is further subject to disciplinary action in that he committed acts of dishonesty or corruption substantially related to the duties, functions and qualifications of a physician and surgeon, he created false medical records and he committed acts of insurance fraud, in violation of Code sections 2234(e), 2261 and 810, as more particularly set forth in paragraphs 6 and 7 above which are realleged as if fully set forth at this point.

THIRD CAUSE FOR DISCIPLINE

(Excessive Use of Diagnostic Procedures)

9. Respondent Dale Robert Mongrain, M.D., is further subject to disciplinary action in that he committed repeated acts of clearly excessive use of diagnostic procedures as determined by the standard of the community of licensees, in violation of Code section 725, as more particularly set forth in paragraphs 6 and 7 above which are realleged as if fully set forth at this point.

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FOURTH CAUSE FOR DISCIPLINE

(Inadequate and Inaccurate Medical Records)

10. Respondent Dale Robert Mongrain, M.D., is further subject to disciplinary action in that he failed to maintain adequate and accurate medical records, in violation of Code section 2266, as more particularly set forth in paragraphs 6 and 7 above which are realleged as if fully set forth at this point.

PRAYER

WHEREFORE, complainant requests that the Division hold a hearing on the matters alleged herein, and that following said hearing, the Division issue a decision:

- 1. Revoking or suspending Physician's and Surgeon's Certificate No. G 29446, heretofore issued to respondent Dale Robert Mongrain, M.D.;
- 2. Directing respondent Dale Robert Mongrain, M.D., to pay to the Board a reasonable sum for its investigative and enforcement costs of this action, and directing respondent, if placed on probation, to pay the costs of probation monitoring; and,

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3. Taking such other and further action as the Division deems appropriate to protect the public health, safety and welfare.

DATED: December 8, 1998

Ron Joseph

Executive Director Medical Board of California Department of Consumer Affairs State of California

Complainant